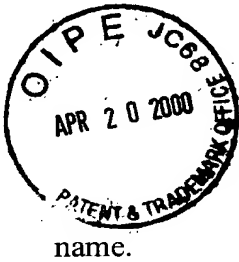


DECLARATION FOR PATENT APPLICATION



As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship is as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **NOVEL STEROID-ACTIVATED NUCLEAR RECEPTORS AND USES THEREFOR** the specification of which

\_\_\_\_\_ is attached hereto.

  X   was filed on December 9, 1999 (Attorney Docket No. SALK2270-2)

as U.S. Application Serial No.           09/458,366          

and was amended on \_\_\_\_\_

if applicable (the "Application").

I hereby authorize and request insertion of the application serial number of the Application when officially known.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability of the subject matter of the Application as defined in Title 37, Code of Federal Regulations ("C.F.R."), § 1.56.

With respect to the Application, I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

<u>                    </u> (Application Serial No.)	<u>                    </u> (Filing Date)
<u>                    </u> (Application Serial No.)	<u>                    </u> (Filing Date)
<u>                    </u> (Application Serial No.)	<u>                    </u> (Filing Date)

With respect to the Application, I hereby claim the benefit under 35 U.S.C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of the application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability of the subject matter of the Application as defined in Title 37, C.F.R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of the Application:

<u>09/227,718</u> (Application Serial No.)	<u>January 8, 1999</u> (Filing Date)	<u>                    </u> (Status) (patented, pending, abandoned)
<u>09/005,286</u> (Application Serial No.)	<u>January 9, 1998</u> (Filing Date)	<u>                    </u> (Status) (patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

In re Application:

Evans et al.

Application No.: 09/458,366

Filed: December 9, 1999

Page -3-

PATENT  
SALK2270-2

Full name of first inventor: Ronald M. Evans

Inventor's signature: Ronald M. Evans

Date: 1/14/2000

Residence: La Jolla, California

Citizenship: United States

Post Office Address: 1471 Cottontail Lane  
La Jolla, California 92037

Full name of second inventor: Bruce Blumberg

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence: Irvine, California

Citizenship: United States

Post Office Address: 65 Harvey Court  
Irvine, California 92612

Full name of third inventor: Wen Xie

Inventor's signature: Wen Xie

Date: 1/14/2000

Residence: San Diego, California

Citizenship: China

Post Office Address: 4158 Decoro Street, #56  
San Diego, California 92122



## DECLARATION FOR PATENT APPLICATION

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship is as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **NOVEL STEROID-ACTIVATED NUCLEAR RECEPTORS AND USES THEREFOR** the specification of which

\_\_\_\_\_ is attached hereto.

  X   was filed on December 9, 1999 (Attorney Docket No. SALK2270-2)  
as U.S. Application Serial No.           09/458,366            
and was amended on \_\_\_\_\_  
if applicable (the "Application").

I hereby authorize and request insertion of the application serial number of the Application when officially known.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability of the subject matter of the Application as defined in Title 37, Code of Federal Regulations ("C.F.R."), § 1.56.

With respect to the Application, I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

_____ (Application Serial No.)	_____ (Filing Date)
_____ (Application Serial No.)	_____ (Filing Date)
_____ (Application Serial No.)	_____ (Filing Date)

With respect to the Application, I hereby claim the benefit under 35 U.S.C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of the application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability of the subject matter of the Application as defined in Title 37, C.F.R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of the Application:

<u>09/227,718</u> (Application Serial No.)	<u>January 8, 1999</u> (Filing Date)	_____ (Status) (patented, pending, abandoned)
<u>09/005,286</u> (Application Serial No.)	<u>January 9, 1998</u> (Filing Date)	_____ (Status) (patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Evans et al.

Application No.: 09/458,366

Filed: December 9, 1999

Page -3-

Full name of first inventor: Ronald M. Evans

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence: La Jolla, CaliforniaCitizenship: United StatesPost Office Address: 1471 Cottontail Lane  
La Jolla, California 92037

Full name of second inventor: Bruce Blumberg

Inventor's signature: Bruce Blumberg

Date: \_\_\_\_\_

Residence: Irvine, CaliforniaCitizenship: United StatesPost Office Address: 65 Harvey Court  
Irvine, California 92612

Full name of third inventor: Wen Xie

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence: San Diego, CaliforniaCitizenship: ChinaPost Office Address: 4158 Decoro Street, #56  
San Diego, California 92122

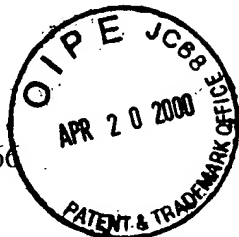
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Evans et al.

Application No.: 09/458,360

Filed: December 9, 1999

For: NOVEL STEROID-ACTIVATED  
NUCLEAR RECEPTORS AND USED  
THEREFOR



Assistant Commissioner  
for Patents  
Washington, D.C. 20231

POWER OF ATTORNEY BY ASSIGNEE

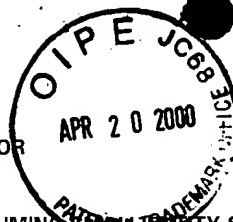
As a below-named assignee of the above-identified application ("Application"):

I hereby appoint the following attorneys of the assignee to prosecute the  
Application and to transact all business in the United States Patent and Trademark Office  
connected therewith:

TIM ELLIS  
LISA A. HAILE  
WILLIAM N. HULSEY III,  
RICHARD J. IMBRA  
SHEILA R. KIRSCHENBAUM  
JUNE M. LEARN  
TIMOTHY W. LOHSE  
TERRANCE A. MEADOR  
JOHN OSKOREP  
STEPHEN E. REITER  
STEVEN R. SPRINKLE  
RAMSEY R. STEWART  
DAVID R. STEVENS  
BARRY N. YOUNG

Registration No. 41,734  
Registration No. 38,347  
Registration No. 33,402  
Registration No. 37,643  
Registration No. 44,835  
Registration No. 31,238  
Registration No. 35,255  
Registration No. 30,298  
Registration No. 41,234  
Registration No. 31,192  
Registration No. 40,825  
Registration No. 38,322  
Registration No. 38,626  
Registration No. 27,774

Attorney Docket No.: SALK2270-2  
Applicant or Patentee: Evans, et al.  
Application No. or Patent No.: 09/458,366  
Filed or Issued: December 9, 1999  
Title: NOVEL STEROID-ACTIVATED NUCLEAR RECEPTORS AND USES THEREFOR



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 C.F.R. §§1.9(f) and 1.27(d) - NONPROFIT ORGANIZATION)

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: THE SALK INSTITUTE FOR BIOLOGICAL STUDIES  
ADDRESS OF ORGANIZATION: 10010 North Torrey Pines Road  
La Jolla, California 92037

TYPE OF ORGANIZATION

- ☐ University or other Institution of Higher Education  
☒ Tax Exempt under Internal Revenue Service Code (26 U.S.C. §§501(a) and 501(c) (3))  
☐ Nonprofit Scientific or Educational under Statute of State of the United States of America (Name of State \_\_\_\_\_) (Citation of Statute \_\_\_\_\_)  
☐ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§501(a) and 501(c) (3)) if located in the United States of America  
☐ Would qualify as nonprofit Scientific or Educational under Statute of State of the United States of America if located in the United States of America (Name of State \_\_\_\_\_) (Citation of Statute \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, with regard to the invention entitled **NOVEL STEROID-ACTIVATED NUCLEAR RECEPTORS AND USES THEREFOR** by inventor(s) Ronald M. Evans and Bruce Blumberg as described in

- ☐ the specification filed herewith  
☒ application Serial No. 09/458,366 filed December 9, 1999  
☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare and request insertion of the serial number of the application when officially known.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. §1.9(d) or by any concern which would not qualify as a small business concern under 37 C.F.R. §1.9(d) or a nonprofit organization under 37 C.F.R. §1.9(e).

NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 C.F.R. §1.27).

Full Name \_\_\_\_\_  
Address \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization  
Full Name \_\_\_\_\_  
Address \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 C.F.R. §1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING \_\_\_\_\_ Thomas E. Jurgensen, Esq.  
TITLE IN ORGANIZATION \_\_\_\_\_ Vice President of Intellectual Property and Technology Transfer  
ADDRESS OF PERSON SIGNING \_\_\_\_\_ 10010 North Torrey Pines Road, La Jolla, CA 92037

SIGNATURE

DATE

1/13/00